

Form 1 Page 1 Execution Page	<b>UNITED STATES SECURITIES AND EXCHANGE COMMISSION</b> <b>WASHINGTON, D.C. 20549</b> <b>APPLICATION FOR, AND AMENDMENTS TO APPLICATION FOR, REGISTRATION</b> <b>AS A NATIONAL SECURITIES EXCHANGE OR EXEMPTION FROM REGISTRATION</b> <b>PURSUANT TO SECTION 5 OF THE EXCHANGE ACT</b>	Date filed (MM/DD/YY): 04/06/17	<b>OFFICIAL USE ONLY</b>
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Warning: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative or criminal action

**INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS**

☐ APPLICATION ☒ AMENDMENT

1. State the name of the applicant: Miami International Securities Exchange, LLC

2. Provide the applicant's primary street address (Do not use a P.O. Box): 7 Roszel Road, Suite 5-A,  
Princeton, NJ 08540

3. Provide the applicant's mailing address (if different):

4. Provide the applicant's business telephone and facsimile number:  
Telephone: 609-897-7300; Facsimile: 609-987-2210

5. Provide the name, title and telephone number of a contact employee:  
Barbara J. Comly, EVP, General Counsel & Corporate Secretary  
609-897-7315

6. Provide the name and address of counsel for the applicant:  
Barbara J. Comly, EVP, General Counsel & Corporate Secretary  
Miami International Securities Exchange, LLC  
7 Roszel Road, Suite 5-A  
Princeton, NJ 08540

7. Provide the date applicant's fiscal year ends: December 31

8. Indicate legal status of applicant: ☐ Corporation ☐ Sole Proprietorship ☐ Partnership  
☒ Limited Liability Company ☐ Other (specify):

If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):

(a) Date (MM/DD/YY): 9/10/07

(b) State/Country of formation: Delaware

(c) Statute under which applicant was organized: Delaware Limited Liability Company Act, 6 Del. C. 18-1d et seq.

**EXECUTION:** The applicant consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of, and with the authority of, said applicant. The undersigned and applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

MIAMI INTERNATIONAL SECURITIES EXCHANGE, LLC

By: Barbara J. Comly  
Barbara J. Comly  
EVP, General Counsel & Corporate Secretary

Date: April 6, 2017

Subscribed and sworn before me this 6<sup>th</sup> day of April, 2017.

Jane Post  
Jane Post  
Notary Public of the State of New Jersey  
My Commission Expires October 27, 2019

This page must always be completed in full with original, manual signature and notarization.  
Affix notary stamp or seal where applicable.



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## **EXHIBIT M**

### **Exhibit Request:**

Provide an alphabetical list of all members, subscribers or other users, including the following information:

1. Name;
2. Date of election to membership or acceptance as a member, subscriber or other user;
3. Principal business address and telephone number;
4. If member, subscriber or other user is an individual, the name of the entity with which such individual is associated and the relationship of such individual to the entity (e.g. partner, officer, director, employee, etc.);
5. Describe the type of activities primarily engaged in by the member, subscriber, or other user (e.g. floor broker, specialist, odd lot dealer, other market maker, proprietary trader, non-broker dealer, inactive or other functions). A person shall be "primarily engaged" in an activity or function for purposes of this item when that activity or function is the one in which that person is engaged for the majority of their time. When more than one type of person at an entity engages in any of the six types of activities or functions enumerated in this item, identify each type (e.g. proprietary trader, Registered Competitive Trader and Registered Competitive Market Maker) and state the number of participants, subscribers, or other users in each; and
6. The class of membership, participation or subscription or other access.

### **Response:**

Attached is a list of the members of the Exchange as of April 5, 2017, including the information set forth in items 1-6 above.



## MEMBER FIRMS

Total Firms 46

As of April 5, 2017

<b>ABN AMRO CLEARING CHICAGO LLC</b> 175 West Jackson Blvd., Ste. 400 Chicago IL 60604 Tele #: (312) 604-8000	Approval Date: 3/7/2013 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>APEX CLEARING CORPORATION</b> 350 N. St. Paul, Suite 1300 Dallas TX 75201 Tele #: (214) 765-1100	Approval Date: 11/18/2015 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>BARCLAYS CAPITAL INC.</b> 745 Seventh Avenue New York NY 10019 Tele #: (212) 526-7000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ALL MEMBERSHIPS
<b>BMO CAPITAL MARKETS CORP.</b> 3 Times Square, 27th Floor New York NY 10036 Tele #: (212) 885-4000	Approval Date: 10/10/2014 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>BNP PARIBAS SECURITIES CORP.</b> 787 Seventh Avenue New York NY 10019 Tele #: (212) 841-2000	Approval Date: 4/21/2014 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CITADEL SECURITIES LLC</b> 131 South Dearborn Street Chicago IL 60603 Tele #: (312) 395-2100	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> PRIMARY LEAD & LEAD MARKET MAKER/EEM: ORDER FLOW
<b>CITI ORDER ROUTING AND EXECUTION, LLC</b> 11 Ewall Street Mt. Pleasant SC 29464 Tele #: (843) 789-2080	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>COMPASS PROFESSIONAL SERVICES, LLC</b> 111 W. Jackson Blvd., 20th Fl. Chicago IL 60604 Tele #: (312) 692-5000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CONVERGEX EXECUTION SOLUTIONS LLC</b> 1633 Broadway, 48th Floor New York NY 10019 Tele #: (212) 486-7500	Approval Date: 12/1/2014 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CREDIT SUISSE SECURITIES (USA) LLC</b> 11 Madison Avenue, 3rd Floor New York NY 10010 Tele #: (212) 325-2000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>CUTLER GROUP, LP</b> 101 Montgomery Street, Ste. 700 San Francisco CA 94104 Tele #: (415) 293-3956	Approval Date: 11/2/2015 <b>MIAX Membership Activities:</b> REGULAR MARKET MAKER/EEM: ORDER FLOW
<b>DASH FINANCIAL TECHNOLOGIES LLC</b> 910 Van Buren Street, Ste. 400 Chicago IL 60607 Tele #: (847) 550-1730	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>DEUTSCHE BANK SECURITIES INC.</b> 60 Wall Street New York NY 10005 Tele #: (212) 250-2500	Approval Date: 1/25/2013 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>DRW SECURITIES, L.L.C.</b> 540 West Madison, Ste. 2500 Chicago NY 60661 Tele #: (312) 542-3231	Approval Date: 8/31/2015 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW

<b>GLOBAL EXECUTION BROKERS, LP</b> 401 City Avenue, Ste. 200 Bala Cynwyd PA 19004 Tele #: (610) 617-2600	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>GOLDMAN SACHS EXECUTION &amp; CLEARING, L.P.</b> 200 West Street New York NY 10282 Tele #: (212) 902-1000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>GOLDMAN, SACHS &amp; CO.</b> 200 West Street New York NY 10282 Tele #: (212) 902-1000	Approval Date: 1/15/2013 <b>MIAX Membership Activities:</b> ALL MEMBERSHIPS
<b>GROUP ONE TRADING LP</b> 440 South La Salle, Ste. 3232 Chicago IL 60605 Tele #: (312) 347-8864	Approval Date: 10/20/2014 <b>MIAX Membership Activities:</b> ALL MARKET MAKER CLASSES/EEM: ORDER FLOW
<b>HILLTOP SECURITIES INC.</b> 1201 Elm Street, Ste. 3500 Dallas TX 75270 Tele #: (214) 859-1800	Approval Date: 2/8/2013 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>HRT FINANCIAL LLC</b> 32 Old Slip, 30th Floor New York NY 10005 Tele #: (212) 293-1444	Approval Date: 3/29/2017 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>IMC-CHICAGO, LLC D/B/A IMC FINANCIAL MARKETS</b> 233 South Wacker Drive, #4300 Chicago IL 60606 Tele #: (312) 244-3300	Approval Date: 8/26/2014 <b>MIAX Membership Activities:</b> ALL MARKET MAKER CLASSES
<b>INSTINET, LLC</b> 309 West 49th Street New York NY 10019 Tele #: (212) 310-9500	Approval Date: 3/27/2013 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>INTERACTIVE BROKERS LLC</b> One Pickwick Plaza, 2nd Fl. Greenwich CT 06830 Tele #: (203) 618-5710	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>ITG DERIVATIVES LLC</b> 601 S. LaSalle, Ste. 300 Chicago IL 60605 Tele #: (312) 935-0125	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>J.P. MORGAN SECURITIES LLC</b> 383 Madison Avenue New York NY 10179 Tele #: (201) 595-8471	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>JEFFERIES LLC</b> 520 Madison Avenue New York NY 10022 Tele #: (212) 284-2300	Approval Date: 9/15/2014 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>KCG AMERICAS LLC</b> 300 Vesey Street New York NY 10282 Tele #: (201) 386-2891	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ALL MEMBERSHIPS
<b>LIME BROKERAGE LLC</b> 625 Broadway, 12th Floor New York NY 10012 Tele #: (212) 824-5000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>MERRILL LYNCH PROFESSIONAL CLEARING CORP.</b> One Bryant Park, 6th Fl. New York NY 10036 Tele #: (646) 743-1295	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>MERRILL LYNCH, PIERCE, FENNER &amp; SMITH INCORPORAT</b> One Bryant Park New York NY 10036 Tele #: (212) 449-1000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>MORGAN STANLEY &amp; CO. LLC</b> 1585 Broadway New York NY 10036 Tele #: (212) 761-4000	Approval Date: 12/7/2012 <b>MIAX Membership Activities:</b> ALL MEMBERSHIPS

<b>OPTIVER US LLC</b>				Approval Date: 1/27/2015
130 E. Randolph Street, Ste. 1300				<b>MIAX Membership Activities:</b>
Chicago IL 60601	Tele #:	(312) 821-9500		REGULAR MARKET MAKER
<b>PEAK6 CAPITAL MANAGEMENT LLC</b>				Approval Date: 7/22/2015
141 W. Jackson Blvd., Ste. 500				<b>MIAX Membership Activities:</b>
Chicago IL 60604	Tele #:	(312) 444-8700		ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>PERSHING LLC</b>				Approval Date: 3/12/2013
1 Pershing Plaza, 10th Fl.				<b>MIAX Membership Activities:</b>
Jersey City NJ 07399	Tele #:	(201) 413-2000		ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>QUANTLAB SECURITIES, LP</b>				Approval Date: 4/7/2015
Three Greenway Plaza				<b>MIAX Membership Activities:</b>
Houston TX 77046	Tele #:	(713) 333-5440		ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>SIMPLEX TRADING, LLC</b>				Approval Date: 9/20/2013
230 So. LaSalle St., Ste. 4-100				<b>MIAX Membership Activities:</b>
Chicago IL 60604	Tele #:	(312) 360-2440		ELECTRONIC EXCH. MEMBER: ORDER FLOW
<b>SUSQUEHANNA INVESTMENT GROUP</b>				Approval Date: 11/23/2016
401 City Avenue, Ste. 201				<b>MIAX Membership Activities:</b>
Bala Cynwyd PA 19004	Tele #:	(610) 617-2600		REGULAR MARKET MAKER
<b>SUSQUEHANNA SECURITIES</b>				Approval Date: 12/7/2012
401 City Avenue, Ste. 220				<b>MIAX Membership Activities:</b>
Bala Cynwyd PA 19004	Tele #:	(610) 617-2600		PRIMARY LEAD & LEAD MARKET MAKER
<b>TIMBER HILL LLC</b>				Approval Date: 12/7/2012
One Pickwick Plaza, Ste. 200				<b>MIAX Membership Activities:</b>
Greenwich CT 06830	Tele #:	(203) 618-5800		ALL MARKET MAKER CLASSES/EEM: CLEARANCE
<b>UBS SECURITIES LLC</b>				Approval Date: 12/7/2012
1285 Avenue of the Americas				<b>MIAX Membership Activities:</b>
New York NY 10019	Tele #:	(203) 719-3000		ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>VOLANT LIQUIDITY, LLC</b>				Approval Date: 5/31/2013
250 Vesey Street, Ste. 2601				<b>MIAX Membership Activities:</b>
New York NY 10281	Tele #:	(646) 484-3000		ALL MARKET MAKER CLASSES/EEM: ORDER FLOW
<b>WALLEYE TRADING LLC</b>				Approval Date: 5/13/2015
2800 Niagara Lane North				<b>MIAX Membership Activities:</b>
Plymouth MN 55447	Tele #:	(952) 345-6611		REGULAR MARKET MAKER/EEM: ORDER FLOW
<b>WEDBUSH SECURITIES INC.</b>				Approval Date: 12/7/2012
1000 Wilshire Boulevard, Suite 900				<b>MIAX Membership Activities:</b>
Los Angeles CA 90017	Tele #:	(213) 688-8090		ELECTRONIC EXCH. MEMBER: CLEARANCE
<b>WELLS FARGO SECURITIES, LLC</b>				Approval Date: 4/11/2014
550 South Tryon Street, 6th Floor				<b>MIAX Membership Activities:</b>
Charlotte NC 28202	Tele #:	(704) 715-6133		ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>WOLVERINE EXECUTION SERVICES, LLC</b>				Approval Date: 12/7/2012
175 W. Jackson Blvd., Ste. 200				<b>MIAX Membership Activities:</b>
Chicago IL 60604	Tele #:	(312) 884-4000		ELECTRONIC EXCH. MEMBER: ORDER FLOW/CLEARANCE
<b>WOLVERINE TRADING, LLC</b>				Approval Date: 12/7/2012
175 W. Jackson Blvd., Ste. 200				<b>MIAX Membership Activities:</b>
Chicago IL 60604	Tele #:	(312) 884-3490		PRIMARY LEAD & LEAD MARKET MAKER